

AGENCY STRATEGIC PLAN

FOR THE FISCAL YEARS

2003 - 2007



ARKANSAS SECURITIES DEPARTMENT

FUNCTIONAL AREA: ECONOMIC DEVELOPMENT

AGENCY STRATEGIC PLAN APPROVAL FORM

FOR THE FISCAL YEARS

2003 - 2007

Mac Dodson

Securities Commissioner

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STRATEGIC PLAN

Agency Name	Arkansas Securities Department
Agency Mission Statement: To protect the financial well being of Arkansas citizens and promote an environment where the financial and capital markets function efficiently and without unnecessary regulatory impediments.	

AGENCY GOAL 1:

To protect the financial interests of the public and promote an environment of economic stability without unnecessary regulatory impediments.

STRATEGIC PLAN

Agency Name		Arkansas Securities Department
Program		Arkansas Securities Department State Operations
Program Authorization		ACA §§ 23-35-101 et seq; 23-37-101; 23-39-101 et seq; 23-41-101 et seq; 23-42-101 et seq; 23-43-101 et seq; and 20-17-1001 et seq.
Program Definition:		The Arkansas Securities Department performs the following duties: (1) Regulates state-chartered credit unions; (2) Regulates state-chartered savings and loan institutions; (3) Regulates mortgage loan companies and loan brokers; (4) Regulates the sale or issuance of checks; (5) Regulates those persons offering and selling securities as well as those offering investment advice; and (6) Regulates perpetual care cemeteries.
Funds-Center Code: <u>027</u>		
AGENCY GOAL(S) #	1	
Anticipated Funding Sources for the Program:		Special Revenues

GOAL 1: (Sub-Funds Center Code: 027GOAL1)

To license and register individuals and entities offering and selling securities, investments advice, and applicable services as well as educating the public about the securities industry.

OBJECTIVE 1: (Sub-Funds Center Code: 027G10BJ1)

To license and register all persons and entities qualified for the provision of pertinent financial services to the public and resolve complaints of misconduct in a timely manner.

STRATEGY 1: (Sub-Funds Center Code: 027A)

The Securities Department will provide the necessary staff and operating resources to achieve its objective.